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11-28-01

PTO/SB/05 (2/98)

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11/26/01

11003 U.S. PTO

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No.

500466.02

November 26, 2001

First Inventor or Application Identifier

Kie Y. Ahn et al.

Title

**FIELD EMISSION DISPLAY HAVING REDUCED POWER  
REQUIREMENTS AND METHOD**

Express Mail Label No.

EL 872038767 US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:**Box Patent Application  
Commissioner of Patents  
Washington, D.C. 20231

1. ☒ Fee Transmittal Sheet (+ copy)  
(Submit an original and a duplicate for fee processing)

2. ☐ Applicant(s) Claim(s) Small Entity Status

3. ☒ Specification [Total Pages] **27**  
(preferred arrangement set forth below)
- Descriptive Title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure

4. ☒ Drawing(s) (35 USC 113) [Total Sheets] **7**

5. ☒ Oath or Declaration [Total Pages] **2**
- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 CFR 1.63(d)(2) and 1.33(b)

6. ☒ Application Data Sheet (37 C.F.R. 1.76)

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer-Readable Form (CRF)
- b. ☐ Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper
- c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Certification Under 35 U.S.C. 122(b)(2)(B)(i)
10. ☐ Assignment Papers (cover sheet & document(s))
11. ☒ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)
12. ☐ English Translation Document (if applicable)
13. ☒ Preliminary Amendment Total Pages **7**
14. ☒ Return Receipt Postcard
15. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
16. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
17. ☒ Other: Certificate of Express Mail; Check;  
General Authorization; Copy of Revocation &  
Substitute Power of Attorney

18. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in a preliminary amendment

☐ Continuation ☒ Divisional ☐ Continuation-In-Part (CIP) of prior Application No.: 09/140,623 Filed August 26, 1998

Prior application information: Examiner K. GuharayGroup / Art Unit 2800/2879

- ☒ **Incorporation By Reference** (useable if box 5b is checked)

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

**CORRESPONDENCE ADDRESS**

Mark W. Roberts, Esq.  
Dorsey & Whitney LLP  
1420 Fifth Avenue, Suite 3400  
Seattle, Washington 98101-4010  
(206) 903-8800 phone  
(206) 903-8820 fax

Customer No. 27,076

TYPED or PRINTED NAME Mark W. Roberts, Ph.D.REGISTRATION NO. 46,160SIGNATURE Mark W. RobertsDate Nov 26, 2001

# FEE TRANSMITTAL SHEET (FOR FY 2001)

*Complete if Known*

|                      |                       |
|----------------------|-----------------------|
| Express Mail No.     | EL 872038767 US       |
| Filing Date          | Concurrently Herewith |
| First Named Inventor | Kie Y. Ahn            |
| Group Art Unit       | Not Yet Assigned      |
| Examiner             | Not Yet Assigned      |
| Atty. Docket Number  | 500466.02             |

## METHOD OF PAYMENT (Check One)

## FEE CALCULATION (Continued)

1. ☒ The Commissioner is hereby authorized to charge any additional fee required under 37 C.F.R. §§ 1.16 and 1.17 and 1.136(a)(3) and credit any over payments to Deposit Account No.: 50-1266; Deposit Account Name: DORSEY & WHITNEY LLP

2. ☒ Check Enclosed

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity |          | Small Entity |          | Fee Description  |               |
|--------------|----------|--------------|----------|--|---------------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |               |
| 101          | 740      | 201          | 370      | <input checked="" type="checkbox"/> Utility Filing Fee |               |
| 106          | 330      | 206          | 165      | <input type="checkbox"/> Design Filing Fee             |               |
| 108          | 740      | 208          | 370      | <input type="checkbox"/> Reissue Filing Fee            |               |
| 114          | 160      | 214          | 80       | <input type="checkbox"/> Provisional Filing Fee        |               |
|              |          |              |          | <b>Subtotal (1)</b>                                    | <b>\$ 740</b> |

### 2. EXTRA CLAIM FEES

| Current Claims | Prior | Extra | Fee            | Fee Paid |
|----------------|-------|-------|----------------|----------|
| Total          | 43    | 20    | = 23 x \$ 18 = | \$ 414   |
| Ind.           | 3     | 3     | = 0 x \$ 84 =  | \$ 0     |

Multiple Dependent Claims x \$ = \$

**Subtotal (2) \$ 414**

| Large Entity |          | Small Entity |          | Fee Description   |  |
|--------------|----------|--------------|----------|---|--|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |   |  |
| 103          | 18       | 203          | 9        | Claims in excess of 20                                  |  |
| 102          | 84       | 202          | 42       | Independent claims in excess of 3                       |  |
| 104          | 280      | 204          | 140      | Multiple dependent Claim                                |  |
| 109          | 80       | 209          | 40       | Reissue independent claims over original patent         |  |
| 110          | 18       | 210          | 9        | Reissue claims in excess of 20 and over original patent |  |

### 3. ADDITIONAL FEES

| Large Entity        |          | Small Entity |          | Fee Description  | Fee paid    |
|---------------------|----------|--------------|----------|--|-------------|
| Fee Code            | Fee (\$) | Fee Code     | Fee (\$) |  |             |
| 105                 | 130      | 205          | 65       | Surcharge - Late filing fee or oath  | \$          |
| 127                 | 50       | 227          | 25       | Surcharge - late provisional filing fee or cover sheet                     | \$          |
| 139                 | 130      | 139          | 130      | Non-English specification  | \$          |
| 147                 | 2,520    | 147          | 2,520    | For Filing a Request for Reexamination                                     | \$          |
| 195                 | 300      | 196          | 300      | Publication (early or Republication)                                       | \$          |
| 115                 | 110      | 215          | 55       | Extension for reply within first month                                     | \$          |
| 116                 | 400      | 216          | 200      | Extension for reply within 2 <sup>nd</sup> month                           | \$          |
| 117                 | 920      | 217          | 460      | Extension for reply within 3 <sup>rd</sup> month                           | \$          |
| 118                 | 1,440    | 218          | 720      | Extension for reply within 4 <sup>th</sup> month                           | \$          |
| 128                 | 1,960    | 280          | 980      | Extension for reply within 5 <sup>th</sup> month                           | \$          |
| 120                 | 320      | 220          | 160      | Filing a brief in support of an appeal                                     | \$          |
| 121                 | 280      | 270          | 140      | Request for oral hearing   | \$          |
| 148                 | 110      | 248          | 55       | Terminal Disclaimer Fee  | \$          |
| 140                 | 110      | 240          | 55       | Petition to revive - unavoidable   | \$          |
| 141                 | 1,280    | 241          | 640      | Petition to revive - unintentional   | \$          |
| 142                 | 1,280    | 242          | 640      | Utility/Reissue issue fee (+ advance copies)                               | \$          |
| 143                 | 460      | 243          | 230      | Design issue fee (+ advance copies)  | \$          |
| 122                 | 130      | 122          | 130      | Petitions to the Commissioner  | \$          |
| 123                 | 50       | 123          | 50       | Petitions related to provisional applications                              | \$          |
| 126                 | 180      | 126          | 180      | Submission of IDS  | \$          |
| 581                 | 40       | 81           | 40       | Recording each patent assignment per property (times number of properties) | \$          |
| 179                 | 740      | 279          | 370      | Request for Continued Examination (RCE)                                    | \$          |
| Other fee (specify) |          |              |          |  | \$          |
|                     |          |              |          | <b>Subtotal (3)</b>  | <b>\$ 0</b> |

**Total Amount of Payment: \$1,154**

## Submitted by:

Name: Mark W. Roberts, Ph.D.

Reg. No.: 46,160

Telephone: (206) 903-8800

Signature: 

Date: Nov 26, 2001

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Kie Y. Ahn and Leonard Forbes      Attorney Docket No.: 500466.02  
Filed : Concurrently Herewith  
Title : FIELD EMISSION DISPLAY HAVING REDUCED POWER REQUIREMENTS AND  
METHOD



GENERAL AUTHORIZATION

Box Patent Application  
Commissioner of Patents  
Washington, D.C. 20231

Sir:

With respect to the above-identified application, the Commissioner is authorized to charge any fees under 37 C.F.R. §§ 1.16 and 1.17 which may be required and to treat any concurrent or future reply requiring a petition for an extension of time under 37 C.F.R. § 1.136(a)(3) for its timely submission as incorporating a petition therefor for the appropriate length of time and to charge any fees which may be required during the course of prosecution, or credit any overpayment, to Deposit Account No. 50-1266.

Date Nov 26, 2001

Mark W. Roberts, Ph.D.  
Registration No. 46,160

MWR:tdg

1420 Fifth Avenue, Suite 3400  
Seattle, WA 98101-4010  
(206) 903-8800  
Fax (206) 903-8820

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants : Kie Y. Ahn and Leonard Forbes      Attorney Docket No.: 500466.02  
Filed : November 26, 2001  
Title : FIELD EMISSION DISPLAY HAVING REDUCED POWER REQUIREMENTS  
AND METHOD

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**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

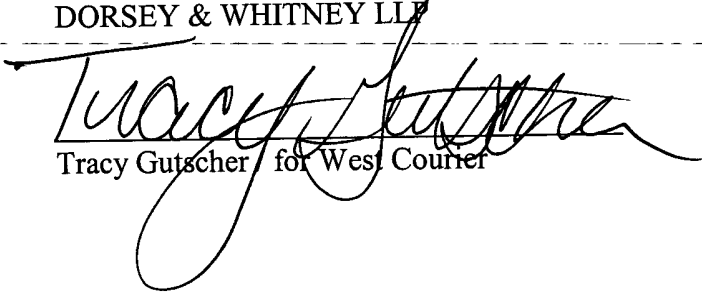
BOX PATENT APPLICATION  
Commissioner for Patents  
U.S. Patent and Trademark Office  
P.O. Box 2327  
Arlington, Virginia 22202

Sir:

I hereby certify that the enclosures listed below are being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Certificate No. EL 872038767 US, on November 26, 2001, addressed to Box Patent Application, Commissioner for Patents, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202.

Respectfully submitted,

DORSEY & WHITNEY LLP

  
Tracy Gutscher for West Counsel

MWR:tdg

Enclosures:

- Postcard
- Check
- PTO/SB/05 Utility Patent Application Transmittal
- Application Data Sheet
- Fee Transmittal Sheet (+ copy)
- General Authorization
- Preliminary Amendment
- Copy of Specification, Claims, Abstract (27 pages)
- Copy of 7 Sheets of Drawings (Figures 1-7)
- Copy of Declaration
- Copy of Election and Power of Attorney
- Copy of Revocation and Substitute Power of Attorney
- Information Disclosure Statement, Form PTO-1449